

**Instructions for preparing THE AP-1 and AP-2 FORMS**  
**Please Read Carefully**

**AP-1 Form**

Information on the report forms must be typed. The AP-1 form contains items numbered 1 through 14. Numbers 2, 3, 6, 7, 8, 9 and 13 are self-explanatory. Below are explanations for other blank spaces on the form.

Your company name and address should be pre-printed on this booklet's address label for you to peel and stick on AP-1 Form. If there are any corrections or if the area is blank, please use the lines to provide this information.

If a name has changed, please explain (example: Merged with ABC Corporation effective 7/1/XXXX).

1. The contact person should be the individual responsible for answering any questions concerning your Report of Unclaimed Property. **Please include the contact person's telephone number.**
4. The federal identification number (FEIN) must be listed.
5. North American Industry Classification System (NAICS) Code per IRS regulations, (formerly SIC). For further assistance, visit:  
<http://www.census.gov/epcd/www/naicstab.htm>
10. Indicate date due diligence was performed in accordance with 55-210.12 (e) of The Uniform Disposition of Unclaimed Property Act, Code of Virginia.
11. Indicate report year (i.e. If report is due November 1, 2004, REPORT YEAR = 2004).  
This is property due for remittance on or before July 1, 2003 to June 30, 2004

**Type of Report**

**Regular** – Holder's annual report due November 1 (May 1 for Insurance companies)

**Audit** – Report filed as a result of an Unclaimed Property Audit

**Negative** – No unclaimed property to report (**NO REPORT REQUIRED**)

**Other** – Not specifically identified above (amnesty, prorated reports)

12. Indicate the media/method by which you reported the detail information on the properties included in your report.
14. Check all property types included on this report – cash, securities, mutual funds, or tangible property.

The back of the AP-1 form consists of property codes, which should be used to complete Column 3 of the AP-2 form. **The total number of items and the total dollar amount should be entered at the end of each property type.**

For security property, please state the number of different securities, CUSIP numbers, total number of shares, and total number of items delivered.

**The statement on the AP-1 form must be completed and signed by an authorized official certifying the accuracy of the report. The AP-1 form must be submitted with the report, including all electronic reports.**

## THE AP-2 FORM

**This form can be reproduced to accommodate additional owner accounts.** If the AP-2 form is not used, the adopted format (preferred font size is 12) must comply with that of the AP-2 form. **Reports, which do not comply, will be returned and considered past due.** The top section of this form should show the same information as on the AP-1 form. The period covered should indicate the last dates of activity for the property being reported. Please give the range of dates listed in Column 6.

COLUMN 1: Number owners sequentially (1,2,3...).

COLUMN 2: (Property Code) Transfer the correct code from the AP-1 form which applies to each individual account. If the property code is "OTHER," please describe in Column 11.

COLUMN 3: (Identifying Number) Insert the account number, check number, policy number, case number (example: courts, governmental agencies, etc.) or other identifying number.

COLUMN 4: (Owner's Name and Address) List the owners alphabetically with the last name first and any address information. If the account has more than one owner, please specify any legal language such as joint tenant, beneficiary, trustee, Uniform Gift to Minors, etc., beside the correct name.

COLUMN 5: (Social Security Number) List the social security number for each owner including accounts with more than one owner.

COLUMN 6: (Date of Last Transaction) Specify the date of the last deposit or withdrawal made by the owner, the date the property became payable or distributable, or the date a check or draft was issued. If the property is an automatically renewable savings certificate or dividend reinvestment plan, the holding period starts at the date of the second mailing that is returned undeliverable or the date mailings were discontinued.

COLUMN 7: (Amount Due Owner Before Deductions and Withholdings) Specify the amount due an owner before any deductions.

COLUMN 8a: (Type Code for Deductions or Withholdings) The following type codes must be used for this section:

"SC" - service charge deduction

"IW" - interest withheld or discontinued

"DW" - dividends withheld or discontinued

"FTW" - federal tax withheld due to back up withholding

"OTH" - other (Describe in Column 12)

COLUMN 8b: (Deductions and Withholdings) Enter the amounts you are deducting or withholding from the owner account. No service charge, fee or assessment may be deducted nor should interest or dividends cease to accrue on property presumed abandoned. If such deductions are made, you must include a copy of the contract authorizing such charges or the authorization for the discontinuance of interest or dividend payments.

COLUMN 9: (Amount Remitted as Due Owner) Specify the total dollar amount or number of shares you are remitting for each owner.

COLUMN 10: (Interest Rate) Complete this column only if the owner account is an interest bearing account. Please identify the interest rate. **If an interest rate is not supplied, the report will be considered incomplete and held until the interest rate is provided in writing.**

COLUMN 11: (Tangible Property, Mutual Funds, Securities, Description or Comments) Describe the contents of safe deposit boxes, jewelry, stock certificates, etc. **The full security name and CUSIP number must be provided, for all reported securities, including mutual funds.** Please include any other pertinent information regarding the securities (i.e. cash-in-lieu rate, any stock splits, or other corporate activity). Enter any additional information you have on an owner (example: date of

birth or death, owner's employer, style of court case, FEIN number). **If the fund is an IRA or retirement account, please use the proper type code and the shareholder's date of birth must be stated in this column.**

When reporting tangible property, the AP-1 Form must accompany the remittance of property: do not enclose checks or report forms in the box or package. If the Receipts and Records Supervisor has not scheduled a time for you to deliver tangible property, you may call (804) 225-2463 or 1-800-468-1088. Tangible property may also be sent via registered mail to: Department of the Treasury, Division of Unclaimed Property, Post Office Box 2478, Richmond, VA 23218-2478.

**MUTUAL FUNDS** should be transferred into the name **“Commonwealth of Virginia, Department of the Treasury, Division of Unclaimed Property”**, FEIN 54-6001745, to be held in book entry form. The CUSIP number and FEIN number for the issuing company must be provided. The appropriate confirmation statement must accompany the Report of Unclaimed Property. Please see **“Reporting and Delivery of Securities Property”** for complete instructions.

**SECURITIES**, Certificated shares, and Dividend Reinvestment Plan (DRP) shares, should be transferred to the Virginia Treasurer's nominee name. If owners are due fractional shares, convert the fractional shares to cash and remit as “cash in lieu” per owner. **Do not combine the fractional shares for multiple owners.**

#### **REGISTRATION FOR CERTIFICATED SECURITIES AND DIVIDEND REINVESTMENT PLANS SHARES:**

**Please review the “Reporting Securities/Mutual Funds” document, which is also available on the Forms and Instructions web page, for specific requirements.**

**COLUMNS 7, 8b, and 9** should be totaled on each page. The totals should include totals brought forward from the previous page. Confirm that the total amount reported agrees with your remittance amount. In addition, securities reported must agree with securities delivered.

**AGGREGATE:** Items under \$100 may be reported as one figure by stating the total number of items and amount being remitted (example: 20 items less than \$100 each totaling – \$1,600.00). Should you report in this manner, you will be required to provide verification of the report year and amount remitted when the owner makes a claim. To prevent us from having to contact you later for this information, you are encouraged to attach a detailed listing of owners that make up the aggregate amount. **PLEASE PLACE AN AGGREGATE DETAIL LIST AT THE END OF THE REPORT!**